



245001-2000.2

JPV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Gary KATZ and Greg MAYNARD  
Serial No. : 10/771,993  
For : AUTOMATED EXCHANGE FOR TRADING OF  
COMPLEX ORDERS  
Filed : February 3, 2004  
Art Unit : 3622

745 Fifth Avenue  
New York, NY 10151  
Tel. (212) 588-0800  
March 21, 2007

I hereby certify that this correspondence is being deposited with  
the United States Postal Service as first class mail in an envelope  
addressed to: Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313, on March 23, 2007

Stephen J. Lieb, Reg. No. 41,943

\_\_\_\_\_  
Name of Applicant, Assignee or Registered Representative

\_\_\_\_\_  
Signature

March 23, 2007

\_\_\_\_\_  
Date of Signature

**STATEMENT UNDER 37 C.F.R. §3.73(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

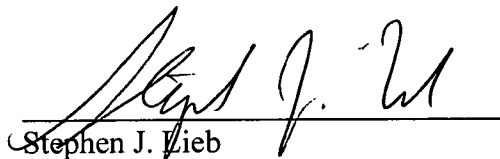
The undersigned attorney of record, authorized to sign this Statement on behalf of the  
assignee, states that INTERNATIONAL SECURITIES EXCHANGE, LLC, a Delaware Limited  
Liability Company, is the assignee of the entire right, title and interest in the patent application  
identified above by virtue of an assignment from the inventor thereof. An assignment from the  
inventor to ISE, LLC was recorded in the U.S. Patent and Trademark Office on February 3, 2000

at Reel 010564, Frame 0095. An assignment from ISE, LLC to INTERNATIONAL SECURITIES EXCHANGE, INC. was recorded in the U.S. Patent and Trademark Office on August 15, 2002 at Reel 013203, Frame 0035. An assignment from INTERNATIONAL SECURITIES EXCHANGE, INC. to the Assignee, INTERNATIONAL SECURITIES EXCHANGE, LLC was recorded in the U.S. Patent and Trademark Office on September 9, 2006 at Reel 018260, Frame 0080.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

Respectfully submitted,  
FROMMER LAWRENCE & HAUG LLP

By: ..

  
Stephen J. Lieb  
Reg. No. 41,943  
(212) 588-0800



PATENT  
245001-2000.2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Gary Katz and Greg Maynard  
Serial No.: 10/771,993  
Filed: February 3, 2004  
For: AUTOMATED EXCHANGE FOR TRADING OF  
COMPLEX ORDERS  
Art Unit: 3622

745 Fifth Avenue  
New York, NY 10151

**FIRST CLASS MAIL CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: **Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450**, on March 23, 2007.

Stephen J. Lieb, Reg. No. 41,943

\_\_\_\_\_  
Name of Applicant, Assignee or Registered Representative

\_\_\_\_\_  
Signature

\_\_\_\_\_  
March 23, 2007

\_\_\_\_\_  
Date of Signature

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The Examiner's attention is invited to the referenced United States Patent Application set forth on the accompanying form PTO-1449.

This Information Disclosure Statement is not a representation that the document cited herein is considered most pertinent, or that a search has been undertaken, or that the cited document is indeed prior art. The Examiner is invited to undertake an independent search.

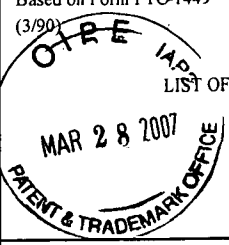
Applicants request that the Examiner consider and make of record the document cited herein and that a copy of the Form PTO-1449, initialed by the Examiner is returned to the undersigned.

This Information Disclosure Statement is being filed before the mailing of a first Office Action in this application and applicant believes no fee is necessary for consideration and entry of this document. However, the Commissioner is authorized to charge any additionally required fee, or credit any overpayment, to deposit account 50-0320.

Respectfully submitted,  
FROMMER LAWRENCE & HAUG LLP

By: 

Stephen J. Lieb  
Reg. No. 41,943  
Tel: (212) 588-0800  
Fax: (212) 588-0500

Based on Form PTO-1449 (3/90) 				ATTY. DOCKET NO. <b>245001-2000.2</b>		SERIAL NO. <b>10/771,993</b>	
LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT <b>Gary Katz and Greg Maynard</b>			
				FILING DATE <b>February 3, 2004</b>		GROUP <b>3622</b>	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	US 20030135444	7/17/03	Annamalai et al.			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AK							
	AL							

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
	AM		
	AN		
	AO		
	AP		

EXAMINER /Kellie Campbell/	DATE CONSIDERED 12/21/2008
----------------------------	----------------------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /K.C./